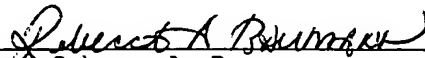


IFW

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as FIRST CLASS MAIL in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on August 6, 2004.

  
Signature: Rebecca A. Baumann



**PATENT**

**Attorney Docket No. AMK-11317-1D**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application	)	<u>PATENT APPLICATION</u>
	)	
Inventor(s): David Albert Zoba	)	
	)	Art Unit: 2815
Application No.: 10/771,072	)	
	)	Examiner: Tom Thomas
Filed: 2/2/2004	)	
	)	
Title STRUCTURES FOR IMPROVING HEAT	)	
DISSIPATION IN STACKED	)	
SEMICONDUCTOR PACKAGES	)	
	)	

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and non-U.S. patent, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP § 609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56.

- ☒ This statement qualifies under 37 C.F.R. § 1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
  - ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
  - ☒ (3) It is being filed before the mail date of the first Office Action on the merits.  
-- OR --
  - ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114
- ☐ 37 C.F.R. § 1.97(c). If this statement is being filed after the period specified in § 1.97(b), but before the mailing date of the earlier of a final office action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, then:
- ☐ a certification as specified in § 1.97(e) is provided below; or
  - ☐ a fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. § 1.97(d). If this statement is being filed after the period specified in § 1.97(c), but on or before payment of the issue fee, then:
- A. a certification as specified in § 1.97(e) is completed below; and
  - B. a fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ *Fee Authorization.* The Commissioner is hereby authorized to charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. 50-0574 (Docket No. AMK-11317-1D).

Respectfully submitted,

BEVER, HOFFMAN & HARMS, LLP

Dated: 8/6/04

By: James E. Parsons

James E. Parsons, Reg. No. 34,691

Telephone: (408) 451-5906  
Customer No. 22888

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Substitute for form 1449A/PTO				Application Number		10/771,072		
AUG 11 2004				Filing Date		2/2/2004		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)				First Named Inventor:		David Albert Zoba		
				Examiner: Tom Thomas		GROUP: 2815		
Sheet	1	of	3	Attorney Docket Number		AMK-11317-1D		
<b>U.S. PATENT DOCUMENTS</b>								
Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2(f known)</sup>		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear		
	A01	US-5,041,902		08/1991	McShane			
	A02	US-5,328,870		07/1994	Marrs			
	A03	US-5,355,283		10/1994	Marrs et al.			
	A04	US-5,381,042		01/1995	Lerner et al.			
	A05	US-5,455,462		10/1995	Marrs			
	A06	US-5,471,011		11/1995	Maslakow			
	A07	US-5,478,007		12/1995	Marrs			
	A08	US-5,482,898		01/1996	Marrs			
	A09	US-5,485,037		01/1996	Marrs			
	A10	US-5,583,378		12/1996	Marrs et al.			
	A11	US-5,616,957		04/1997	Kajihara			
	A12	US-5,629,561		05/1997	Shin et al.			
<b>FOREIGN PATENT DOCUMENTS</b>								
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Cntry Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5 (f known)</sup>			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear	T <sup>6</sup>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>								
EXAMINER SIGNATURE:				DATE CONSIDERED:				

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2. \*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				Application Number		10/771,072	
				Filing Date		2/2/2004	
				First Named Inventor:		David Albert Zoba	
				Examiner: Tom Thomas		GROUP: 2815	
Sheet	2	of	3	Attorney Docket Number		AMK-11317-1D	
<b>U.S. PATENT DOCUMENTS</b>							
Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		Pages, Columns, Lines Where Relevant Passages or Figures Appear
	A13	US-5,650,593		07/1997	McMillan et al.		
	A14	US-5,650,663		07/1997	Parthasarathi		
	A15	US-5,701,034		12/1997	Marrs		
	A16	US-5,708,567		01/1998	Shim et al.		
	A17	US-5,722,161		03/1998	Marrs		
	A18	US-5,723,899		03/1998	Shin		
	A19	US-5,783,860		07/1998	Jeng et al.		
	A20	US-5,807,768		09/1998	Shin		
	A21	US-5,854,511		12/1998	Shin et al.		
	A22	US-5,929,513		07/1999	Asano et al.		
	A23	US-5,929,514		07/1999	Yalamanchili		
	A24	US-5,977,626		11/1999	Wang et al.		
	A25	US-5,985,695		11/1999	Freyman et al.		
<b>FOREIGN PATENT DOCUMENTS</b>							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Cntry Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document		Pages, Columns, Lines Where Relevant Passages or Figures Appear
							T <sup>6</sup>
<b>OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)</b>							
EXAMINER SIGNATURE:					DATE CONSIDERED:		

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>				Application Number	10/771,072
				Filing Date	2/2/2004
				First Named Inventor:	David Albert Zoba
				Examiner: Tom Thomas	GROUP: 2815
Sheet	3	of	3	Attorney Docket Number	AMK-11317-1D

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2/(if known)</sup>		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	A26	US-6,008,991		07/1997	Hawthorne et al.	
	A27	US-6,028,354		02/2000	Hoffman	
	A28	US-6,040,626		03/2000	Cheah et al.	
	A29	US-6,069,023		05/2000	Bernier et al.	
	A30	US-6,093,960		07/2000	Tao et al.	
	A31	US-6,166,446		12/2000	Masaki	
	A32	US-6,198,163		03/2001	Crowley et al.	
	A33	US-6,229,204		05/2001	Hembree	
	A34	US-6,229,702		05/2001	Tao et al.	
	A35	US-6,258,629		07/2001	Niones et al.	
	A36	US-6,400,014		06/2002	Huang et al.	
	A37	US-2002/0109226		08/2002	Khan et al.	

[illegible]

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EXAMINER SIGNATURE:	DATE CONSIDERED:
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